

**APPENDIX D 4 - ALCOHOL TESTING MANAGEMENT INFORMATION SYSTEM (MIS) "EZ"**  
**DATA COLLECTION FORM**

**INSTRUCTIONS**

The following instructions are to be used as a guide for completing the Federal Railroad Administration (FRA) **Alcohol Testing MIS "EZ" Data Collection Form**. This form should only be used if there is **no alcohol misuse** to be reported by your company. These instructions outline and explain the information requested and indicate the probable sources for this information. This reporting form includes three sections. These sections address the data elements required in the FRA and the U.S. Department of Transportation (DOT) alcohol testing regulations.

**SECTION A - RAILROAD EMPLOYER INFORMATION** requires the company name for which the report is done and a current address. Below this, a signature, date, and current telephone (including the area code) are required certifying the correctness and completeness of the form.

**SECTION B - COVERED EMPLOYEES** requires a count for each Hours of Service Act employee category that must be tested under FRA regulations. The categories are: "Engine Service", "Train Service", "Dispatcher/Operator", "Signal Service", and "Other." The **OTHER** category is a count of employees performing covered service that are not included in specific preceding categories. Examples include yardmasters, hostlers (non-engineer craft), bridge tenders, switch tenders, etc. These counts should be based on the company records as of January 1 of the reported year. The **TOTAL** is a count of **all** covered employees for **all** categories combined, i.e., the sum of the column.

Additional information must be completed if your company employs personnel who perform duties covered by the alcohol rules of more than one DOT operating administration. **NUMBER OF EMPLOYEES COVERED BY MORE THAN ONE DOT OPERATING ADMINISTRATION**, requires that you identify the number of employees in each employee category under the appropriate additional operating administration(s).

**SECTION C - ALCOHOL TESTING INFORMATION** requires information for alcohol testing, refusals for testing, and training/education. The first table requests information on the **NUMBER OF ALCOHOL SCREENING TESTS CONDUCTED** in each category for testing. All numbers entered into the pre-employment (and transfer to covered service) section of the table should be separated into the category of employment for which the person was applying or transferring. The other categories are for employee testing and require information for employees in **covered positions** only. Enter the number of alcohol screening tests conducted by employee category for each category of testing. Testing categories include: (1) random, (2) for cause testing due to accidents/injuries, (3) for cause testing due to rule violations, (4) reasonable suspicion, (5) return to duty, and (6) follow-up. Each column in the table should be added and the answer entered in the row marked **"TOTAL"**.

Following the table that summarizes **ALCOHOL TESTING INFORMATION**, you must provide a count of **employees who engaged in alcohol misuse who were returned to duty in a covered position (having complied with the recommendations of a substance abuse professional as described in FRA regulations)**. This information should be available from the personnel office and/or alcohol program manager.

## B. COVERED EMPLOYEES

COVERED EMPLOYEES						
EMPLOYEE CATEGORY	NUMBER OF FRA COVERED EMPLOYEES	NUMBER OF EMPLOYEES COVERED BY MORE THAN ONE DOT OPERATING ADMINISTRATION				
		FAA	FHWA	FTA	RSPA	USCG
Engine Service						
Train Service						
Dispatcher/Operator						
Signal Service						
Other *						
TOTAL						

\* Includes yardmasters, hostlers (non-engineer craft), bridge tenders, switch tenders, and other miscellaneous employees performing covered service as defined in 49 CFR 228.5 (c).

## C. ALCOHOL TESTING INFORMATION

NUMBER OF ALCOHOL SCREENING TESTS CONDUCTED							
EMPLOYEE CATEGORY	PRE-EMPLOYMENT	RANDOM	FOR CAUSE Accident/Injury Testing Conducted Under Rule: FRA ____ Railroad ____	FOR CAUSE Rules Violation Testing Conducted Under Rule: FRA ____ Railroad ____	REASONABLE SUSPICION	RETURN TO DUTY	FOLLOW-UP
Engine Service							
Train Service							
Dispatcher/Operator							
Signal Service							
Other							
Total							
Number of employees who engaged in alcohol misuse who were returned to duty in a covered position (having complied with the recommendations of a substance abuse professional as described in FRA regulations):							
<b>EMPLOYEES WHO REFUSED TO SUBMIT TO AN ALCOHOL TEST</b>							<b>Number</b>
Covered employees who refused to submit to a <b>random</b> alcohol test required under the FRA regulation:							
Covered employees who refused to submit to a <b>non-random</b> alcohol test required under the FRA regulation:							
<b>ALCOHOL TRAINING/EDUCATION DURING CURRENT REPORTING PERIOD</b>							<b>Number</b>
Supervisory personnel who have received initial training on the specific contemporaneous physical, behavioral, and performance indicators of probable alcohol use as required by FRA alcohol testing regulations:							

**FRA ALCOHOL TESTING MIS "EZ" DATA COLLECTION FORM  
(No Alcohol Misuse)**

OMB No. 2130-0526

YEAR COVERED BY THIS REPORT: 19\_\_

**A. RAILROAD EMPLOYER INFORMATION**

Company \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I, the undersigned, certify the information provided on the attached Federal Railroad Administration Alcohol Testing Management Information System "EZ" Data Collection Form is, to the best of my knowledge and belief, true, correct, and complete for the period stated.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date of Signature

\_\_\_\_\_  
Phone Number

Title 18, U.S.C. Section 1001, makes it a criminal offense subject to a maximum fine of \$10,000, or imprisonment for not more than 5 years, or both, to knowingly and willfully make or cause to be made any false or fraudulent statements or representations in any matter within the jurisdiction of any agency of the United States. The willful falsification of any information in this report may also subject the submitter to civil or criminal prosecution under Title 45, U.S.C. Section 438(e).

The Federal Railroad Administration estimates that the average burden for this report form is 4 hours. You may submit any comments concerning the accuracy of this burden estimate or any suggestions for reducing the burden to: Office of Safety; Federal Railroad Administration; 400 7th St., S.W.; Washington, D.C. 20590; OR Office of Management and Budget, Paperwork Reduction Project (2130-0526); Washington, D.C. 20503.

## B. COVERED EMPLOYEES

COVERED EMPLOYEES						
EMPLOYEE CATEGORY	NUMBER OF FRA COVERED EMPLOYEES	NUMBER OF EMPLOYEES COVERED BY MORE THAN ONE DOT OPERATING ADMINISTRATION				
		FAA	FHWA	FTA	RSPA	USCG
Engine Service						
Train Service						
Dispatcher/Operator						
Signal Service						
Other*						
TOTAL						

\* Includes yardmasters, hostlers (non-engineer craft), bridge tenders, switch tenders, and other miscellaneous employees performing covered service as defined in 49 CFR 228.5 (c).

## C. ALCOHOL TESTING INFORMATION

NUMBER OF ALCOHOL SCREENING TESTS CONDUCTED							
EMPLOYEE CATEGORY	PRE-EMPLOYMENT	RANDOM	FOR CAUSE Accident/Injury Testing Conducted Under Rule: FRA ____ Railroad ____	FOR CAUSE Rules Violation Testing Conducted Under Rule: FRA ____ Railroad ____	REASONABLE SUSPICION	RETURN TO DUTY	FOLLOW-UP
Engine Service							
Train Service							
Dispatcher/Operator							
Signal Service							
Other							
Total							
Number of employees who engaged in alcohol misuse who were returned to duty in a covered position (having complied with the recommendations of a substance abuse professional as described in FRA regulations):							
EMPLOYEES WHO REFUSED TO SUBMIT TO AN ALCOHOL TEST							Number
Covered employees who refused to submit to a <b>random</b> alcohol test required under the FRA regulation:							
Covered employees who refused to submit to a <b>non-random</b> alcohol test required under the FRA regulation:							
ALCOHOL TRAINING/EDUCATION DURING CURRENT REPORTING PERIOD							Number
Supervisory personnel who have received initial training on the specific contemporaneous physical, behavioral, and performance indicators of probable alcohol use as required by FRA alcohol testing regulations:							